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10/804,455	03/19/2004	Lloyd R. Camp	06556-0050-00	7281

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WASHINGTON, DC 20001-4413

EXAMINER
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MCCORMICK, GABRIELLE A

ART UNIT	PAPER NUMBER
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3629

MAIL DATE	DELIVERY MODE
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02/18/2010

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b> 10/804,455	<b>Applicant(s)</b> CAMP ET AL.	
	<b>Examiner</b> Gabrielle McCormick	<b>Art Unit</b> 3629	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 05 January 2010.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-24 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-24 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |   |   |
|---|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)                    | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)         | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____   | 6) <input type="checkbox"/> Other: _____                          |

## DETAILED ACTION

### *Status of Claims*

1. This action is in reply to the amendment filed on January 5, 2010.
2. Claims 1 and 13 have been amended.
3. Claims 1-24 are currently pending and have been examined.

### *Claim Rejections - 35 USC § 112*

4. The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

5. Claims 1-24 are rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the written description requirement. The claims contain subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention.
6. Applicant has amended the claims 1 and 13 to incorporate the following limitation: *monitoring physical welfare and financial welfare of the plurality of children in the welfare system simultaneously.*
7. The Applicant states that support for this amendment is provided at page 33, line 24 – page 34, line 20 and Figs. 22-24. The reference page/lines disclose only that “the bottom portion of screen 2400 is tabbed to switch the display between the activity list, an approved caseload list, payment information and profile information.” Figs. 22-24 disclose physical welfare information (injury and child location information) but not financial information. Therefore, there is no support for the **simultaneous** monitoring of both physical and financial welfare information for a plurality of children.

***Claim Rejections - 35 USC § 103***

8. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

9. **Claims 1-24** are rejected under 35 U.S.C. 103(a) as being unpatentable over Dunham et al. (US Pub. No. 2002/0013716, hereafter referred to as "Dunham") in view of Basile et al. (US Pat. No. 6,042,005, hereafter referred to as "Basile") in view of Sweatte (US Pat. No. 6,335,688) in view of Schwartz (US Pub. No. 2003/0037063).

10. **Claims 1 and 13:** Dunham discloses the method and system (P[0040] and Fig. 1):

- *receiving child update information on the child from a reporter;* (P[0052]: user name, login name, password and contact information; P[0062-0063]: users can update information specific to a client; P[0044]: system can be used for child welfare systems, thus a client is a child and data relating to the wellness of a child is collected and evaluated).
- *storing the child update information in a central computer system;* (P[0040])
- *receiving and storing welfare benefit payment information related to the child, the welfare benefit payment information comprising information related to a benefit payment received from the welfare system for the child* (P[0044]: system used for child welfare systems; P[0045]: system incorporates clinical, administrative and financial functions of care providing process; P[0092-0094]: contract information includes county programs that reimburse the participating agency for care provided and P[0096]: billing system tracks all receipts.)
- *integrating the child update information and the welfare benefit payment information in the computer system that provides a centralized system for monitoring physical and financial welfare by stakeholders.* (P[0045]: "system incorporates clinical, administrative and financial functions of care providing process"; P[0021]: "network based integrated system of care";

- P[0017]: all members of the team can input and obtain information about the clients. Note: by ensuring fiscal responsibility in the provision of individualized care (P[0093]), the financial welfare of the client is monitored in that the accounting procedures are tracked to ensure that a client will continue to receive services and obtain the reimbursements associated with the services. Further, the financial welfare is monitored by requiring authorization of a provider to perform a service (P[0084]));
- *facilitating securing additional funding for the plurality of children in the welfare system.* (P[0094-0095]: contract information is entered in system for county programs that reimburse for care provided, thus lessening the burden on a client to pay for services. The system also automatically determines what services are reimbursable by insurance providers and other organizations. The ability of the system to identify and obtain reimbursements discloses the facilitation of securing additional funding (i.e., in addition to the parts of the services that the client pays for).
11. Dunham does not disclose a *child identification card* or *observing the child*.
  12. Basile, however, discloses a child identification card that is used to obtain the child's personal information. (C4; L1-4). The card contains a microchip that is read in order to display the child's information. The user is able to update the information in the id device. (C4; L28-52). It is inherent that the child is observed at the time the third party, such as the hospital, police, doctors, etc. interact with the child and obtain and update the id device.
  13. Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention to have included an identification card and observing the child, as disclosed by Basile, in the system of Dunham for the motivation of providing a third party, such as hospitals, police, EMS, doctors, schools and insurance companies with can access personal and medical information electronically when a child is involved in an accident, medical trauma or abduction. (Basile; C4; L28-46). It is obvious that the system of Dunham would include observing the child during at least the diagnosis process disclosed in P[0074].

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14. Dunham does not disclose *determining a location of the child via a location device in the proximity of the child*.
15. Sweatte, however, discloses a smartcard that includes a GPS tracking device (C2; L31-36).
16. Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention to have included GPS on a smartcard, as disclosed by Sweatte, in the system of Basile for the motivation of tracking a means to track and locate a child. Basile discloses a child id card equipped with a chip to assist in providing information in the event of an emergency, including abduction. (Basile; C4; L28-33). Thus, it is obvious to expand Basile's smartcard to include the GPS-enabled smartcard of Sweatte in order to assist in locating an abducted child.
17. It is further obvious to store location information in the database of Dunham as Dunham is directed to providing tracking of services provided to a child in a child welfare system. One of ordinary skill in the art would recognize the benefit to storing location information in order to ensure contact with the child is maintained, as is the goal of providing child welfare services.
18. Dunham discloses a tickler list that acts as a docketing system and provides users with a listing of action items that are overdue, due the current day and day in the near future. (P[0061]). Further, a list of all the clients a coordinator is responsible for is displayed. (P[0062]). This discloses monitoring a plurality of children in the welfare system simultaneously. Dunham does not disclose the contents of the tickler list or the client list, therefore, Dunham does not explicitly disclose *child update information or monitoring physical welfare and financial welfare* information.
19. Schwartz, however, discloses alerting worker personnel when change occurs in any primary client risk score that is displayed in a case docket list. (P[0084] and Fig. 5a-c). P[0009] discloses that in child welfare, data is obtained periodically to monitor a child and its environment and that these inputs are variables into a risk assessment equation. The Table (located after P[0073]) contains input variables for Child Abuse Risk assessment and includes variables related to both physical (DD: previous levels of abuse; II-LL: associated child abuse histories; VV: Severity of reported abuse; WW-XX: severity of child's handicaps; CCC: ER results; DDD: unexplained injuries) and financial (H: household income; L-O: Employment status; ZZ: condition of home and

FFF: level of child welfare services offered) welfare. Further, status updates are used in the risk assessment (P[0017]), thus, a change in the risk assessment score is child update information that contains *physical and financial welfare* information. The case docket list is the combination of update information for a plurality of children that is monitored simultaneously.

20. Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention to have included a case docket that includes physical and financial information, as disclosed by Schwartz, in the system of Dunham for the motivation of assisting workers in caseload management. (Schwartz; P[0084]).
21. **Claims 2 and 14:** Dunham discloses a PIN (P[0052]: user login name and password) and a case number (P[0072]).
22. **Claims 3 and 15:** Dunham discloses status and environment information about a child (P[0072]: current living situation, legal status, employment status and school placement and P[0087]: behaviors, school performance).
23. **Claims 4 and 16:** Dunham discloses a date (P[0086]: “the day the service was provided” is part of the progress note update information.)
24. Dunham does not explicitly disclose a time, however, it is obvious that data entries into a database are logged by time and date so as to allow the “tickler list” described in P[0061] to appropriately function. It is also obvious to expand Dunham to include a time of an entry as it is possible for numerous entries to be made in a given day, thus a time allows a further refinement of tracking the input of data.
25. Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have included a timed entry in the system disclosed by Dunham, for the motivation of providing a method of ordering data entries chronologically and providing the ticker list with the ability to send notifications due based on timed entries.
26. **Claims 5, 6, 7, 8, 17, 18, 19 and 20:** Dunham discloses a “tickler list” (P[0061]) that generates reminders and reports (i.e., alerts) that indicate action items are overdue for users (i.e., reporters and stakeholders) and in P[0087], performance indicators are taken at every defined time

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duration for tracking purposes (thus updating the child's information). Dunham does not explicitly disclose that the ticker list will function to provide alerts when the performance update is due, however it is obvious for the tickler list to be programmed to do so. Dunham discloses that the tickler list generates reminders for action items that need to be completed, therefore, it is obvious to include the update to the performance indicators as a tickler item.

27. Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention to have included a tickler for performance indicator updating, in the system of Dunham for the motivation of providing timely updating to a client's (i.e., child's) file to ensure that performance indicators are tracking the most currently available data. Dunham would be motivated to expand its system to ensure that a crisis plan can be developed in a timely fashion to address situations that require immediate attention. (P[0076]).
28. **Claims 9 and 21:** Dunham discloses processing payments (P[0094]).
29. **Claims 10, 11 and 22:** Dunham does not disclose providing or scanning a case identification card.
30. Basile, however, discloses a child identification card that is used to obtain the child's personal information. (C4; L1-4). The card contains a microchip that is read in order to display the child's information. (C4; L39-46).
31. Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention to have included an identification card, as disclosed by Basile, in the system of Dunham for the motivation of providing a third party, such as hospitals, police, EMS, doctors, schools and insurance companies with can access personal and medical information electronically when a child is involved in an accident, medical trauma or abduction. (Basile; C4; L28-46).
32. **Claims 12 and 24:** Dunham does not disclose receiving information via *an interactive voice response system*.
33. Schwartz, however, discloses that server access may also be allowed telephonically using automated menu driven methods and systems. (P[0108]).



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34. Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention to have included an interactive voice response system, as disclosed by Schwartz, in the system of Dunham for the motivation of providing alternative access to clients that do not have internet access for inputting data.
35. **Claim 23:** Dunham does not disclose a camera.
36. Basile, however, discloses a photograph of the child. (C3; L65-67). It is inherent in obtaining a photograph that a camera is used.
37. Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention to have included a camera for taking a photo, as disclosed by Basile, in the system of Dunham for the motivation of providing a means of rapidly matching the identification card with the cardholder.

### ***Response to Arguments***

38. Applicant's arguments with respect to claims 1 and 13 have been considered but are not persuasive.
39. Applicant argues that Dunham's system does not monitor welfare of a child in a welfare system but rather "monitors a plan of care and makes sure the plan is working" (Remarks; pg. 11). The Examiner asserts that the plan of care is directed to a child welfare system (Dunham; P [0044]).
40. Applicant further argues that Dunham does not monitor financial welfare of the child but rather "merely facilitates financial functions of the plan of care." (Remarks; pg. 12). The Examiner maintains that the system disclosed by Dunham "incorporates clinical, administrative, and financial functions of the care providing process...that provides client-centered care planning and individualized services while providing management tools that ensure fiscal responsibility." (Dunham; P [0045]). Dunham further discloses the "Financial Aspects of the System" P [0092-0097]) that include tracking which services are covered by insurance or other reimbursement programs (P [0094]). The tracking then determines the client balance and provides invoices with a description of the services provided. The Examiner asserts that the tracking of the financial aspects results in monitoring financial welfare of the client in that the client is only liable for the

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balance after insurance and other reimbursements are paid to the provider. P [0084] discusses reviewing planned actions for a client to determine overall cost of providing services that allows users to better understand the end result and the best means for achieving the result and includes reducing costs by utilizing family/community team care providers. This review process is another example of monitoring financial welfare.

41. The Examiner further notes that the term "financial welfare" is very broad. The Examiner interprets this term to include any possible or current financial impact to the child/client. In Dunham, the financial welfare is disclosed as discussed above with respect to reducing costs and providing access to reimbursements for the care provided to the client. In Schwartz, impacts to a child's financial welfare are demonstrated by the family's household income and changes to parent/household resident employment status.

### ***Conclusion***

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Gabrielle McCormick whose telephone number is (571)270-1828. The examiner can normally be reached on Monday - Thursday (5:30 - 4:00 pm).

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Weiss can be reached on 571-272-6812. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/G. M./  
Examiner, Art Unit 3629

/JOHN G. WEISS/  
Supervisory Patent Examiner, Art Unit 3629